



To: Workforce Development Board Chairs
Workforce Development Board Directors

From: Regina Ashley, Chief Strategy Officer

REA

Date: March 20, 2017

Subject: DWD Policy 2016-10
One-Stop Center Certification

Purpose

To communicate the process and criteria for evaluating and certifying Indiana's comprehensive and affiliate one-stop centers pursuant to the Workforce Innovation and Opportunity Act (WIOA).

Rescission

None

References

WIOA Sec. 121
WIOA Regulations Sec. 678.800, 678.305, 678.310
TEGL 4-15

Content

Definitions

Comprehensive One-Stop Center

A comprehensive one-stop center is a physical location where job seeker and employer customers can access the programs, services, and activities of all required one-stop partners. A comprehensive one-stop center must have at least one WIOA title I staff person physically present 100% of the time.

Affiliate Center

An affiliated site, or affiliate one-stop center, is a site that makes available to job seeker and employer customers one or more of the one-stop partners' programs, services, and activities. An affiliated site does not need to provide access to every required one-stop partner program. The frequency of program staff's physical presence in the affiliated site will be determined at the local level. Affiliated sites are access points in addition to the comprehensive one-stop center(s) in each local area. If used by local areas as a part of the service delivery strategy, affiliate sites must be implemented in a manner that supplements and enhances customer access to services.

In addition to the above requirements for an affiliate center, DWD further defines affiliate centers to mean physical buildings owned and/or operated by the local WDB and its designees.

Background

Title I of WIOA requires the State Board (Indiana State Workforce Innovation Council), in consultation with Chief Elected Officials and Local Workforce Development Boards (WDBs), establish objective criteria and procedures for the local WDBs to evaluate and certify the comprehensive and affiliate one-stop centers¹ located within its Local Workforce Development Area (LWDA). The evaluation and certification examines effectiveness (including customer satisfaction), physical and programmatic accessibility, and continuous improvement. Each one-stop center must be certified in order to be designated as a "one-stop center" and receive funding for infrastructure under the state infrastructure funding mechanism. The certification of one-stop centers is essential to set a minimum level of quality and consistency of services in the one-stop centers across the state.

Roles and Responsibilities

The Indiana Department of Workforce Development (DWD), on behalf of the Indiana State Workforce Innovation Council (SWIC), is responsible for oversight of the one-stop center certification process. DWD, in consultation with the SWIC, is also responsible for ensuring the one-stop certification criteria is reviewed and updated every two years as part of the review and modification of the WIOA State Plan. DWD is also responsible for certifying the one-stop centers when the local board is the one-stop operator in a LWDA.

The local WDBs are responsible for oversight of the one-stop center certification process at the local level and for the appointment of a certification team to conduct the one-stop certification reviews for each one-stop center in its LWDA (unless the local WDB is also the one-stop operator, discussed more fully below). The local WDB must use the *Indiana One-Stop Center Certification Review Form* (Attachment A) and the corresponding criteria established by DWD.

The local WDB may set higher standards for service coordination beyond those identified in the one-stop certification criteria established by the SWIC. However, the additional criteria must be clearly identified in an addenda to the *Indiana One-Stop Center Certification Review Form*.

¹ Comprehensive and Affiliate One-Stop centers will be collectively referred to throughout this policy as "one-stop center(s)"

Procedure

Certification Teams

If the local WDB does NOT serve in the role of the one-stop operator for its LWDA, the local WDB has the discretion to appoint a team of three or more individuals to conduct the one-stop certification review, so long as there are no conflicts of interest. One of the three individuals appointed to serve on the certification team must be a local WDB member. The local WDB shall notify the chief elected official of the certification team selection.

If the local WDB does serve in the role of one-stop operator for a LWDA, DWD shall be responsible for conducting the one-stop center certification for each one-stop center in that particular LWDA. DWD will appoint a review team of three or more state staff to conduct the certification and ensure there are no conflicts of interest.

The individuals selected to be on either the DWD or local WDB certification team must be able to conduct an independent and objective evaluation of the one-stop center(s) and make a recommendation to the local WDB (if local WDB certification team) or the SWIC/committee (if DWD certification team). One individual on the certification team must serve as the “team lead” for contact purposes.

Certification Process

The certification team shall contact each center to schedule a time to visit the center and conduct the onsite one-stop certification review.

During the onsite certification review, the certification team shall conduct staff interviews with applicable staff². Interviewees shall include the Center Manager, the local Equal Opportunity Officer, and a random sample of at least 20 percent of the frontline (state and partner) service staff at the one-stop center to determine their level of knowledge pertaining to the following:

- WIOA partner programs/services;
- Local Initiatives;
- One-stop center policies and procedures;
- Staff roles and contributions to performance; and
- Awareness of accessibility requirements and available assistive technologies.

The Certification team shall review all necessary documentation including the following:

- The Local MOU;
- Business and/or Local Plan;
- Local policies, procedures, manuals;
- Complaints and compliance findings;

² An affiliate center will likely not have all of the identified staff for the purpose of staff interviews. The certification team should interview the available staff in those centers.

- Marketing and other printed materials;
- Training schedules;
- Customer feedback reports; and
- Customer employment plans/case notes.

Certification Determination

The certification teams shall determine, as a group, whether a one-stop center has sufficiently met the certification criteria. Certification teams shall use the *Indiana One-Stop Center Certification Review Form* and submit a written determination to the DWD Policy Department and the local WDB (if local WDB certification team) or the SWIC/committee (if DWD certification team) within thirty (30) days of conducting the one-stop center certification review. The written documentation shall include:

- A determination of “Certified” or “Not Certified”;
- Documentation that each criteria was reviewed;
- Details regarding areas denoted “Not Meets” or “In Progress”;
- In the event of non-certification, an action plan and timetable prepared in consultation with the One-stop operator to bring the one-stop center into compliance; and
- In the event of non-certification, a date for follow-up review within ninety (90) days.

If the one-stop center fails to achieve certification, the certification team must re-evaluate the one-stop center in ninety (90) days of the written determination. The certification team shall submit, to DWD and the local WDB (if local WDB certification team) or the SWIC/committee (if DWD certification team), a follow-up, written determination within thirty (30) days or reevaluation.

Non-Certification

If a one-stop center fails to achieve certification after the ninety (90) day re-evaluation review, the center shall be deemed *probationary*, and DWD will notify the chief elected official. The local WDB shall have one year to bring a probationary one-stop center into compliance (infrastructure cost-funding will not be impacted during this time frame). If a local WDB fails to certify any one-stop center after the one year probationary period, that one-stop center will not be eligible for infrastructure-cost funding under the state-funding mechanism for the ensuing program year. Local WDBs may also consider additional ramifications for failing one-stop certifications in their one-stop operator contracts.

Frequency of Certification

Each one-stop center must be certified every three (3) years.

Submitting Documentation

Documentation regarding the one-stop center certification should be sent electronically (policy@dwd.in.gov) or by mail the DWD Policy Department.

Policy Department
Indiana Department of Workforce Development
10 North Senate Avenue; Room SE308
Indianapolis, IN 46204-2277

Action

At least ONE comprehensive center in each LWDA must be certified no later than **January 1, 2018**. All remaining one-stop centers in a LWDA should be certified no later than **March 30, 2018**. Once certified, the certification status will remain in effect for three years. All future certifications shall be completed no later than March 31 immediately preceding the beginning of the third program year. *(ie-March 30, 2021 for the next round of certifications)*

Effective Date

March 20, 2017

Ending Date

Upon rescission.

Contact for Questions

policy@dwd.in.gov

Attachments

A- *Indiana One-Stop Center Certification Review Form*